

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Rudy Mazzocchi, et al. Attorney Docket: MVA1001USC2

Serial No.: **to be assigned** Group Art Unit: 3731

Filed: January 18, 2002 Examiner: Vy Q. Bui

For: **METHOD AND DEVICE FOR FILTERING BODY FLUID**

---

JCS79 U.S. PRO  
10/051565  
01/16/02



**INFORMATION DISCLOSURE STATEMENT** #2

Assistant Commissioner for Patents  
BOX Patent Application - Fee  
Washington, D.C. 20231

Dear Sir:

Pursuant to Sections 1.56, 1.97, and 1.98 of Title 37 of the Code of Federal Regulations, the following information is set forth in compliance with Applicant's duty of disclosure, as well as the duty of others substantively involved in the preparation of the above-titled application.

The Applicant and others substantively involved in the preparation of the application are aware of the documents, cited on the enclosed PTO-1449 form. With the exception of three documents (the Search Report for the counterpart International application PCT/US/95/08613, DE 2821048, and U.S. Patent No. 4,832,055), copies of the listed documents were provided in related prior applications U.S. Serial Nos. 08/748,066 and 08/272,425. U.S.S.N. 08/748,066 is a continuation of U.S.S.N. 08/272,425. The present application relies on U.S.

---

**Certificate of Express Mailing (37 C.F.R. § 1.10)**

I hereby certify that this paper or fee is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" Mailing Label No. EL501539356US and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231

Date: 1/18/02

Signature: 

Name: Gina Rust

Information Disclosure Statement  
Applicants: Rudy Mazzocchi, et al.  
Serial Number: tba

Attorney Docket: MVA1001USC2

Serial No. 08/272,425 for an earlier filing date under 35 U.S.C. § 120. In accordance with 37 C.F.R. § 1.98(d), these copies are not provided with this Information Disclosure Statement.

The present statement reflects the direct knowledge of the undersigned and information disclosed to the undersigned by the Applicant and others substantively involved in the preparation of the present application pursuant to their duty under 37 C.F.R. § 1.56.

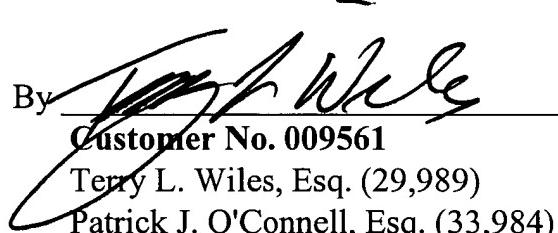
Applicant reserves the right to show, pursuant to 37 C.F.R. § 1.131 or otherwise, that any one or more of the documents cited on the PTO-1449 form is not prior art to the present invention.

Pursuant to the Manual of Patent Examining Procedure, Chapter 609, Applicant requests that the Examiner consider each of the listed documents and initial and return to the undersigned a copy of the enclosed PTO-1449 form (submitted in duplicate).

It is believed that no fees are due in connection with this submission. However if this is incorrect, please charge any additional fees to Deposit Account Number 16-2312.

Respectfully submitted,

Date: 1/18/02

By   
Terry L. Wiles  
Customer No. 009561  
Terry L. Wiles, Esq. (29,989)  
Patrick J. O'Connell, Esq. (33,984)  
Miriam G. Simmons (34,727)  
POPOVICH & WILES, P.A.  
IDS Center, Suite 1902  
80 South 8th Street  
Minneapolis, MN 55402  
Telephone: (612) 334-8989  
Representatives of Applicants

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET:	SERIAL NO.
		INFORMATION DISCLOSURE STATEMENT BY APPLICANT		MVA1001USC2	
		(Use several sheets if necessary)		APPLICANTS	
				Rudy Mazzocchi, et al.	
				FILING DATE	GROUP
				January 18, 2002	3731
				JC879 U.S. PTO 10/051565	01/16/02

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
2 2 8 1 4 4 8								04/1942	Mathey			
3 3 3 4 6 2 9								08/1967	Cohn			
3 5 4 0 4 3 1								11/1970	Mobin-Uddin			
3 8 6 8 9 5 6								03/1975	Alfidi et al.			
3 9 5 2 7 4 7								04/1976	Kimmel, Jr.			
3 9 9 6 9 3 8								12/1976	Clark, III			
4 4 2 5 9 0 8								01/1984	Simon			
4 4 9 4 5 3 1								01/1985	Gianturco			
4 5 0 3 5 6 9								03/1985	Dotter			
4 5 5 3 5 4 5								11/1985	Maass et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES      NO
	0 380 666	04/89	Europe			
	0 547 530	06/93	Europe			
	2 020 557	11/79	GB			
	2 527 301	11/83	France			
	2 641 692	07/90	France			
	93/10714	06/93	WIPO			
	94/05372	03/94	PCT			
	DD 233 303	02/86	East Germany			
	WO 96/01591	01/25/96	PCT			

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

		Castaneda, et al., Migration of a Kimray-Greenfield Filter to the Right Ventricle, <u>Radiology</u> , December 1983, pp. 687-690
		Allison, et al., article entitled: Therapeutic Embolization, <u>British Journal of Hospital Medicine</u> , December 1978
		Palestrant, et al. article entitled: Comparative <i>In Vitro</i> Evaluation of the Nitinol Inferior Vena Cava Filter, pp. 351-355
		Duerig, et al., Superelastic Nitinol for Medical Devices, <u>Medical Plastics and Biomaterials</u> , March/April 1997, pp. 30-43

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.  
 Include copy of this form with next communication to applicant.

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET: MVA1001USC2	SERIAL NO.
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANTS	
(Use several sheets if necessary)		Rudy Mazzocchi, et al.	
		FILING DATE	GROUP
		January 18, 2002	3731

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER						DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
4 5 7 2 1 8 6	02/1986	Gould et al.									
4 6 1 9 2 4 6	10/1986	Molgaard-Nielsen et al.									
4 6 4 3 1 8 4	02/1987	Mobin-Uddin									
4 6 4 9 9 2 2	03/1987	Wiktor									
4 6 5 0 4 6 6	03/1987	Luther									
4 6 5 5 7 7 1	04/1987	Wallsten									
4 6 5 5 7 7 2	04/1998	De Liotta et al.									
4 6 6 5 9 0 6	05/1987	Jervis									
4 6 8 1 1 1 0	07/1987	Wiktor									
4 6 9 0 6 8 4	09/1987	McGreevy et al.									
4 6 9 9 6 1 1	10/1987	Bowden									
4 7 2 3 5 4 9	02/1988	Wholey et al.									
4 7 2 7 8 7 3	03/1988	Mobin-Uddin									
4 7 3 2 1 5 2	03/1988	Wallsten et al.									
4 7 3 3 6 6 5	03/1988	Palmaz									
4 7 9 0 8 1 2	12/1988	Hawkins, Jr. et al.									

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES      NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

	Dotter et al., "Transluminal Expandable Nitinol Coil Stent Grafting: Preliminary Report", Radiology 147:259-260, 4/83
	Schatz, et al., "Balloon-expandable intracoronary stents in the adult dog", Circulation, Vol. 76, No. 2, 8/87:450-457
	Palmaz, et al. "Atherosclerotic Rabbit Aortas: Expandable Intraluminal Grafting", Radiology 1986; 160:723-726
	Rosseau et al., "Self-expanding Endovascular Prosthesis: An Experimental Study", Radiology 1987; 164:709-714
	Duprat, Jr. et al., "Self-expanding Metallic Stents for Small Vessels: An Experimental Study", Radiology 1987; 162:469-472
	Sweden Now, "When hope is all in vein", 1988

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.  
 Include copy of this form with next communication to applicant.

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET: MVA1001USC2	SERIAL NO.
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)		APPLICANTS	
		Rudy Mazzocchi, et al.	
		FILING DATE January 18, 2002	GROUP 3731

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4	7	9	3	3	4	8	12/1988	Palmaz			
	4	7	9	4	9	2	8	01/1989	Kletschka			
	4	8	0	0	8	8	2	01/1989	Gianturco			
	4	8	1	7	6	0	0	04/1989	Herms et al.			
	4	8	3	0	0	0	3	05/1989	Wolff et al.			
	4	8	4	8	3	4	3	07/1989	Wallsten et al.			
	4	8	5	6	5	1	6	08/1989	Hillstead			
	4	8	7	3	9	7	8	10/1989	Ginsburg			
	4	8	8	6	0	6	2	12/1989	Wiktor			
	4	9	2	1	4	8	4	05/1990	Hillstead			
	4	9	2	6	8	5	8	05/1990	Gifford, III et al.			
	4	9	3	5	0	6	8	06/1990	Duerig			
	4	9	6	9	8	9	1	11/1990	Gewertz			
	4	9	8	4	5	8	1	01/1991	Stice			
	4	9	9	0	1	5	6	02/1991	Lefebvre			
	4	9	9	1	6	0	2	02/1991	Amplatz et al.			
	4	9	9	8	5	3	9	03/1991	Delsanti			
	5	0	0	2	5	6	0	03/1991	Machold et al.			
	5	0	1	6	8	0	8	05/1991	Heil, Jr. et al.			
	5	0	2	6	3	7	7	06/1991	Burton et al.			
	5	0	3	4	0	0	1	07/1991	Garrison et al.			
	5	0	4	1	0	9	3	08/1991	Chu			
	5	0	5	3	0	0	8	10/1991	Bajaj			
	5	0	5	9	2	0	5	10/1991	El-Nounou et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES      NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

		Dotter, "Transluminally-placed Coilspring Endarterial Tube Grafts, Long-term Patency in Canine Popliteal Artery", Investigative Radiology, Vol. 4, Sept.-Oct., 1969:329-332
--	--	---

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to applicant.

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET:	SERIAL NO.
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)		MVA1001USC2	
		APPLICANTS	
		Rudy Mazzocchi, et al.	
		FILING DATE	GROUP
		January 18, 2002	3731

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5	0	6	4	4	3	5	11/12/91	Porter			
	5	0	6	7	4	8	9	11/1991	Lind			
	5	0	6	7	9	5	7	11/26/91	Jervis			
	5	0	9	8	7	7	6	03/1992	Kobayashi et al.			
	5	1	0	8	4	1	8	04/1992	Lefebvre			
	5	1	0	8	4	1	9	04/1992	Reger et al.			
	5	1	3	3	7	3	3	07/1992	Rasmussen et al.			
	5	1	5	2	7	7	7	10/1992	Goldberg et al.			
	5	1	9	0	5	4	6	03/02/93	Jervis			
	5	1	9	2	3	0	1	03/09/93	Kamiya et al.			
	5	2	2	1	2	6	1	06/1993	Termin et al.			
	5	2	4	6	4	4	5	09/21/93	Yachia et al.			
	5	2	5	6	1	4	6	10/1993	Ensminger et al.			
	5	3	3	2	2	5	9	01/1995	Phillips et al.			
	5	3	3	4	2	1	7	08/02/94	Das			
	5	3	5	4	3	1	0	10/1994	Garnic et al.			
	5	3	8	3	8	9	2	01/1995	Cardon et al.			
	5	4	1	7	7	0	8	05/1995	Hall et al.			
	5	4	2	1	9	5	5	06/1995	Lau et al.			
	5	5	1	4	1	1	5	05/1996	Frantzen et al.			
	5	5	2	7	3	3	8	06/18/96	Purdy			
	5	5	9	7	3	7	8	01/28/97	Jervis			
	5	6	6	2	6	7	1	09/1997	Barbut et al.			
	5	6	9	0	6	7	1	11/25/97	McGurk et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES      NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET: MVA1001USC2	SERIAL NO.
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)		APPLICANTS Rudy Mazzocchi, et al.	
		FILING DATE January 18, 2002	GROUP 3731

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
4	8	3	2	0	5	5		05/23/89	Palestrant			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES      NO
	DE 28 21 048 B1	11/08/79	Germany			

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

		Search Report for counterpart International Application (PCT/US95/08613).

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to applicant.